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Fax Transmittal

Date January 12, 2006 Client-Matter 74622-029
Total Pages (Including Cover) 3
From John C. Stellabotte
Sender's Voice Number 212.969.3413 Sender's Room Number 17-44
Sender's Email Address jstellabotte@proskauer.com Main Fax Number 212.969.2900
To: Examiner: PATEL, JAGDISH Fax No.: 571.273.8300
Company: United States Patent and Trademark Office - Group Art Unit 3624 Voice No.: 571.272.4130
Message

Re: Application of : Sanjay Deshpande, et al.
Filing Date : December 10, 2001
Serial No. : 10/008,269
Title : SYSTEM AND METHOD FOR ENABLING
CONTENT PROVIDERS IN A FINANCIAL
SERVICES ORGANIZATION TO SELF-PUBLISH CONTENT
Att'y Docket : 74622-029

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

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Elizabeth Tavaraz

Name of person signing the certification

Elizabeth Tavaraz January 12, 2006
Signature Date

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and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/008,269
Filing Date	December 10, 2001
First Named Inventor	Sanjay Deshpande
Title	SYSTEM AND METHOD FOR ENABLING PROVIDERS IN A FINANCIAL...
Art Unit	3824
Examiner Name	JAGDISH PATEL
Attorney Docket Number	74622-029

I hereby appoint

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/08)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	1/11/06
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

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STATEMENT UNDER 37 CFR 3.73(b)

Sanjay Dashpande, et al

Applicant/Patent Owner: _____

Application No./Patent No.: 10/008,269 Filed/Issue Date: December 10, 2001

Entitled: **SYSTEM AND METHOD FOR ENABLING CONTENT PROVIDERS IN A FINANCIAL SERVICES ORGANIZATION TO SELF-PUBLISH CONTENT**

UBS PaineWebber, Inc.

Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or

2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

A ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013688, Frame 0047, or for which a copy thereof is attached.

OR

B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3. If the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Gregg I. Goldman

Printed or Typed Name

Date

1/6/06
203 719 3089

Telephone Number

Director and Senior Counsel, UBS AG, Stamford Branch
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1480, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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